

UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS UNITED STATES PATENT AND TRADEMARK OFFICE Washington, D.C. 20231

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APPLICATION NUMBER

FILING/RECEIPT DATE

FIRST NAMED APPLICANT

ATTORNEY DOCKET NUMBER

09/747.439

12/21/2000

James A. Riosa

END920000047US1

CONFIRMATION NO. 8420

IBM Corp. N50/040-4

1701 North Street Endicott, NY 13760 **FORMALITIES LETTER** OC000000005810184*

Date Mailed: 02/28/2001

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given TWO MONTHS from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The oath or declaration is unsigned.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 130.

A copy of this notice <u>MUST</u> be returned with the reply.

Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

04/25/2001 BNGUYEN1 00000048 090457

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130.00 CH

| Response To Notice To File Missing Parts Of Application Filing Date Granted (PTO-1533) (Darge Entity) Docket No. END920000047US | | | | | | |
|---|---|-----------------------------------|----------------------------------|-----------------------------|--|--|
| In Re | Application Of: J | PART | 3 2001 6 | | | |
| | Serial No. 09/747,439 | Filing Date 12/21/00 | Examiner N/A | Group Art Unit 2122 | | |
| | ntion: HIERARCH AGEMENT DESIG | HICAL CONNECTED GRAPH N | MODEL FOR IMPLEMENTA | ΓΙΟΝ OF EVENΤ | | |
| | | TO THE ASSISTANT CO | MMISSIONER FOR PATENTS | <u>S:</u> | | |
| | | <u> </u> | <u> Missing Parts</u> | · | | |
| Γhis i | s a response to the 02/28/01 Date | Notice to File Missing Parts of | Application - Filing Date Grante | ed (PTO-1533) mailed on | | |
| Enclo | sed herewith for fili | ng are the following: | | | | |
| \boxtimes | A copy of the Notic | ce to File Missing Parts of Appli | ication - Filing Date Granted (P | TO-1533). (REQUIRED) | | |
| An oath or declaration in compliance with 37 CFR 1.63, including residence information and identifying the application by the above Application Number and Filing Date. | | | | | | |
| × | A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date. | | | | | |
| | An oath or declaration in compliance with 37 CFR 1.63 listing the names of all inventors and signed by the omitted inventor(s), identifying this application by the above Application Number and Filing Date. | | | | | |
| A verified English translation of the non-English language application papers as originally filed. It is requested that this translation be used as the copy for examination purposes in the United States Patent and Trademark Office. | | | | | | |
| | Other (list): | | | | | |
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Response To Notice To File Missing Parts Of Application Filing Date Granted (PTO-1533)(Large Entity)

Docket No. END920000047US

| Serial No. | Filing Date | E | xaminer | Group Art Unit | |
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| 09/747,439 | 12/21/00 | | N/A | 2122 | |
| vention: HIERARC: ANAGEMENT DESIG | HICAL CONNECTED GRAPI | H MODEL FOR II | MPLEMENTATION (| OF EVENT | |
| ANAGEMENT DESIC | 51 N | | | | |
| | TO THE ASSISTANT O | COMMISSIONED | EOD DATENTS: | | |
| | | Missing Parts | PON PATENTS. | | |
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| ☐ Utility applica | ation filing fee | | | | |
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| ☐ Design appli | cation filing fee | | | | |
| ☐ Total numbe | r of independent claims = | | | | |
| ☐ Total numbe | r of claims = | - | | | |
| ☐ Multiple depe | endent claims | | | | |
| ⊠ Surcharge for | or late payment of filing fee and | d/or late filing of o | riginal declaration or c | path \$130.0 | |
| Petition and | fee for filing by other than all tl | he inventors or a p | person not the invento | ır | |
| ☐ Fee for proce | essing an application filed with | n a non-English lai | nguage specification | | |
| ☐ Fee for proce | essing and retention of applica | ation | | | |
| | | Total c | ompletion of application | on fees \$130.0 | |
| ove-identified Notice | er the provisions of 37 CFI to File Missing Parts of Applic I time extension is required, pl | ation. The reque | ested extension is as | | |
| One month | ☐ Two months ☐ | Three months | ☐ Four months | ☐ Five months | |
| from: | | until: | | | |
| | Date | | Date Total time extensi | ion fees | |
| | | | TOTAL TITLE OXIGING | | |

Response To Notice To File Missing Parts Of Application Filing Date Granted (PTO-1533) (Large Entity)

Docket No. END92000047US

| In Re Application Of: James A. Riosa et al. | | | | | |
|---|--|--|--|--|--|
| Serial No. | Filing Date | Examiner | Group Art Unit | | |
| 09/747,439 | 12/21/00 | N/A | 2122 | | |
| Invention: HIERARCI | HICAL CONNECTED GRAPH M | IODEL FOR IMPLEMENTATION | OF EVENT | | |
| MANAGEMENT DESIG | N | | | | |
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| | TO THE ASSISTANT COM | MMISSIONER FOR PATENTS: | | | |
| | Box Mis | ssing Parts | | | |
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| The fee of \$130.00 | is to be paid as follows: | | | | |
| A check in the am | ount of the fee is enclosed. | | | | |
| | | any fees which may be required, or | credit any | | |
| • • | Deposit Account No. 09-0457 of this sheet is enclosed. | | | | |
| | | e consider this a petition therefor an | id charge | | |
| | s which may be required to Depo | sit Account No. | | | |
| A duplicate copy o | of this sheet is enclosed. | | | | |
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| John Pur | nelwy | Dated: 04/20/01 | | | |
| John R. Pivnichny, Reg. N | ignature / | , , | | | |
| IBM Corporation, N50/04 | • | | | | |
| 1701 North Street Endicott, NY 13760 | | | ment and fee is being deposited | | |
| 2.10.000 | | | with the U.S. Postal Service as C.F.R. 1.8 and is addressed to the | | |
| | | Assistant Commissioner | for Patents, Washington, D.C. | | |
| | | (Ana. W. J | Thur leas | | |
| | | Signature If Perso | on Mailing Correspondence | | |
| | | 11 11 11 1 | _ | | |

| CERTIFICATE OF MAPPLICANT (s): James A. I | Docket No. END92000047US1 | | | | | | |
|---|------------------------------|------------------------------------|------------------------|--|--|--|--|
| Serial No. 09/747,439 | Filing Date 12/21/00 | Examiner N/A | Group Art Unit 2122 | | | | |
| Invention: HIERARCHICAL CONNECTED GRAPH MODEL FOR IMPLEMENTATION OF EVENT MANAGEMENT DESIGN APR 2 3 2001 5 Thereby certify that this Declaration, Notice to File Missing Parts and Response to Notice to File Missing Parts (Identify type of correspondence) is being deposited with the United States Postal Service as first class mail in an envelope addressed to: The Assistant Commissioner for Patents, Washington, D.C. 20231 on Georgia Y. Brundege (Typed or Printed Name of Person Mailing Correspondence) (Signature of Person Mailing Correspondence) | | | | | | | |
| | Note: Each paper must ha | ve its own certificate of mailing. | | | | | |